Chapter 4

Entering a Formal Complaint
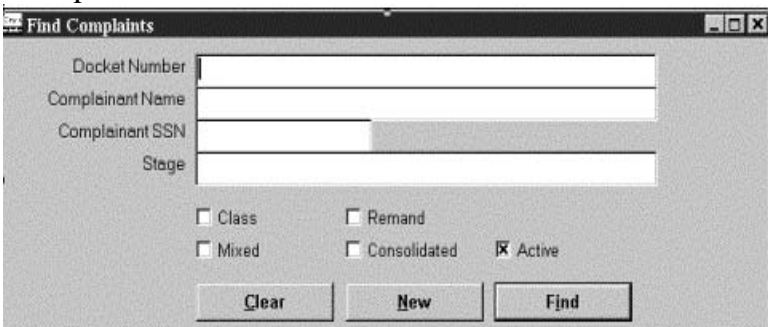
Chapter Overview

Introduction

This chapter explains the process of querying a pre-complaint and changing the status to a formal complaint. For example, a pre-complaint record was previously initiated, and now the complainant wants to proceed to a formal complaint. It describes the contents of each of the alternate regions and taskflow buttons that store data throughout the process.

Chapter Contents

Entering a Formal Complaint

Accessing the Complaints Window

Step	Action
1	On the **Navigation List**, click *Complaints Tracking → EEO Complaints Tracking →* **<Open>**. The **Find Complaints** Window displays to either query an existing complaint or enter a new complaint. *Find Complaints window showing fields: Docket Number, Complainant Name, Complainant SSN, Stage; checkboxes: Class, Remand, Mixed, Consolidated, Active (checked); buttons: Clear, New, Find.*
2	To query an existing pre-complaint record; • Enter data in one of the top three data fields; or • Enter more than one of the data fields and click **<Find>**. **Note:** • There may be more than one record for a complainant. If a complainant has multiple records, it will be indicated in the message bar at the bottom of the **Complaints** Window. ♦ **Example:** `Count: *14     ^ v` • Use the Up and Down Arrow Keys to scroll through the records to find the one you need. • You can view all your records by using the LOV in the *Stage* data field to make a selection. For example, if you select: • **Pre-Complaint**, all the Pre-Complaint records display. • **Formal Complaint**, all the Formal Complaint records display.
3	On the **Complaints** Window, change the **Stage** data field by using the LOV and selecting **Formal Complaint**. Notice the rest of the Header remains the same.

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Entering a Formal Complaint, Continued

Completing the Formal Complaint Alternate Region

Step	Action
1	Select **Formal Complaint** from the drop-down menu to display the **Formal Complaint** Alternate Region data fields. _(screen image)_
2	Use the LOV to enter calendar dates in the data fields.
3	Save your work.
4	In the **Formal Complaint** Alternate Region, click the drop-down menu to select the next Alternate Region, e.g., the **Investigation** Alternate Region. The remaining Alternate Regions are explained as you work through this chapter.

Entering a Formal Complaint, Continued

**Investigation
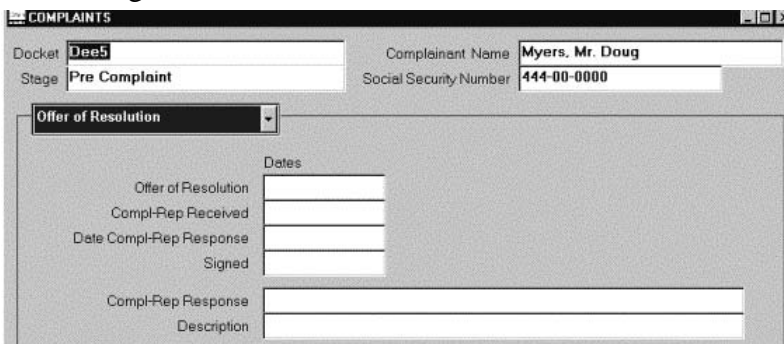Alternate Region**

Step	Action
1	The **Complaints** Window displays the **Investigation** data fields.
2	Enter required information in the **Investigation Source** data field.
3	Enter calendar dates in the remaining region data fields by using the LOV or typing in the information.
4	In the **Investigation** Alternate Region, click the drop-down menu to select the next region, e.g., the **Offer of Resolution** Alternate Region.

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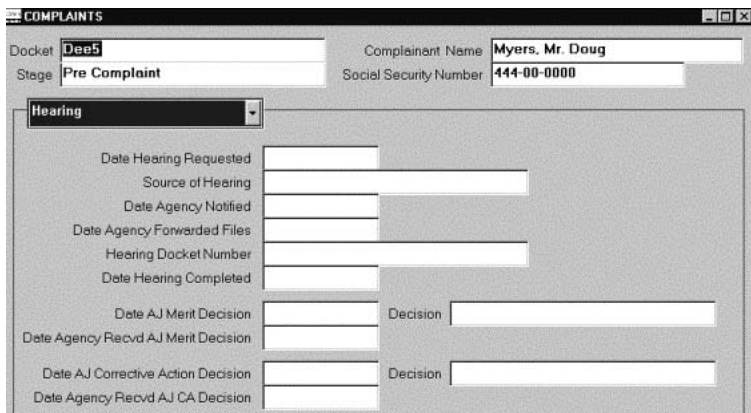
Entering a Formal Complaint, Continued

Offer of Resolution
Alternate Region

Step	Action
1	The **Complaints** Window displays the **Offer of Resolution** Alternate Region data fields.
2	Use the LOV to enter dates in the data fields and enter information in the *Compl-Rep Response* and *Description* data fields.
3	In the **Offer of Resolution** Alternate Region, click the drop-down menu to select the next region, e.g., the **Hearing** Alternate Region.

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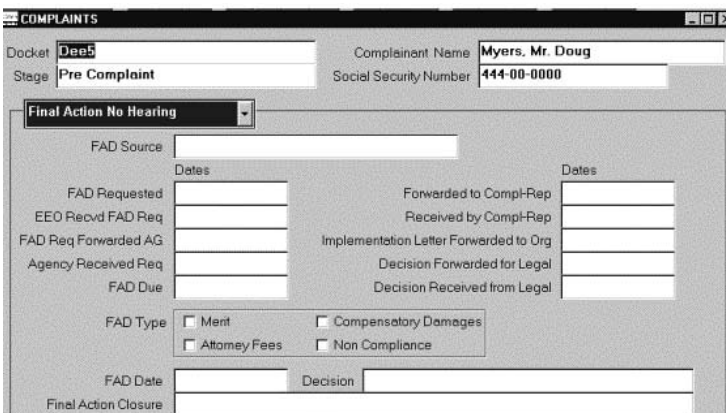
Entering a Formal Complaint, Continued

Hearing Alternate Region

Step	Action
1	The **Complaints** Window displays with **Hearing** Alternate Region data fields. *[screen image: COMPLAINTS window]* Docket: Dee5 Complainant Name: Myers, Mr. Doug Stage: Pre Complaint Social Security Number: 444-00-0000 Hearing Date Hearing Requested Source of Hearing Date Agency Notified Date Agency Forwarded Files Hearing Docket Number Date Hearing Completed Date AJ Merit Decision Decision Date Agency Recvd AJ Merit Decision Date AJ Corrective Action Decision Decision Date Agency Recvd AJ CA Decision
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the **Hearing** Alternate Region, click the drop-down menu to select the next alternate region, e.g., the **Final Action No Hearing** Alternate Region.

Entering a Formal Complaint, Continued

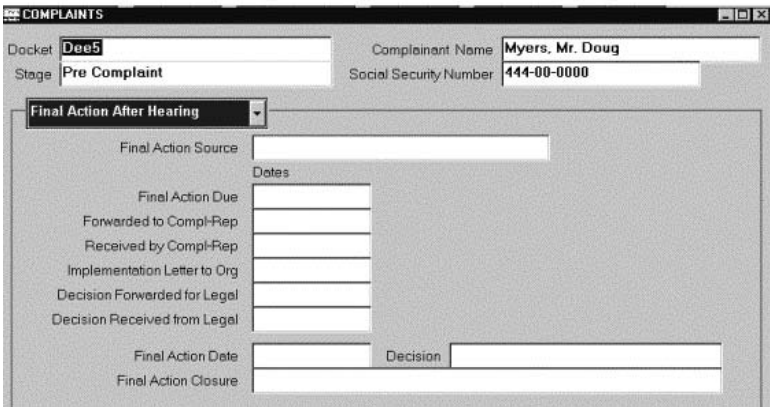**Final Action No Hearing Alternate
Region**

Step	Action
1	The **Complaints** Window displays the **Final Action No Hearing** Alternate Region data fields.
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the **Final Action No Hearing** Region, click the drop-down menu to select the next region, e.g., the **Final Action After Hearing** Alternate Region.

Entering a Formal Complaint, Continued

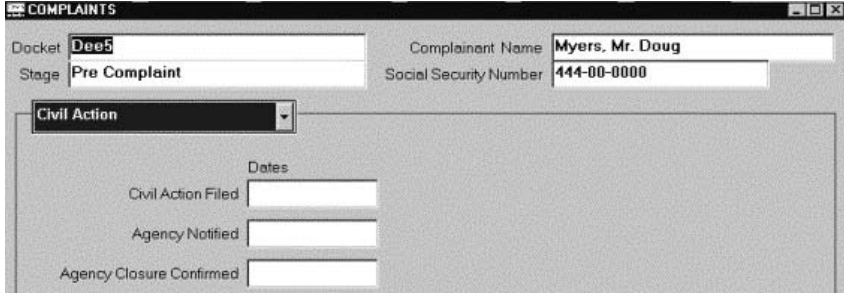**Final Action After Hearing Alternate Region**

Step	Action
1	The **Complaints** Window displays with **Final Action After Hearing** Alternate Region data fields.
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the **Final Action After Hearing** Alternate Region, click the drop-down menu to select the next region, e.g., the **Civil Action** Alternate Region.

Entering a Formal Complaint, Continued

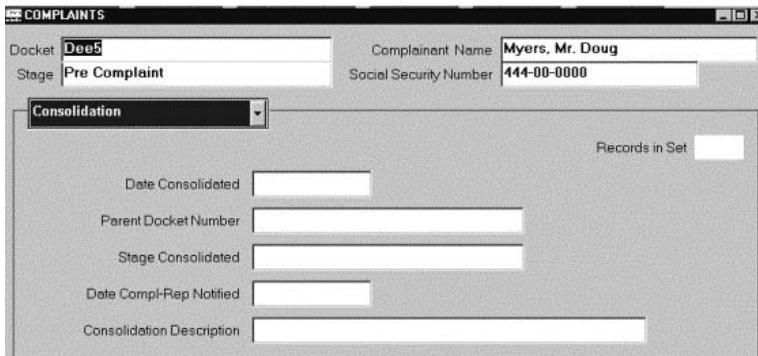**Civil Action Alternate Region**

Step	Action
1	The **Complaints** Window displays the **Civil Action** Alternate Region data fields.
2	Enter dates in the data fields using the LOV or typing in the information.
3	In the **Civil Action** Alternate Region, click the drop-down menu to select the next region, e.g., the **Consolidation** Alternate Region.

Entering a Formal Complaint, Continued

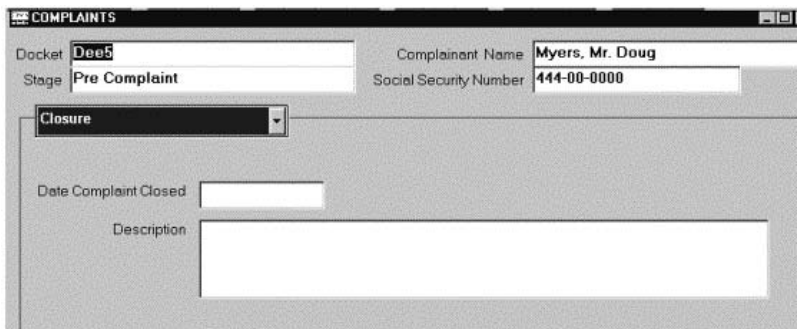**Consolidation Alternate Region**

Step	Action
1	The **Complaints** Window displays the **Consolidation** Alternate Region data fields.
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the **Consolidation** Alternate Region, click the drop-down menu to select the next region, e.g., the **Closure** Alternate Region.

Entering a Formal Complaint, Continued

Closure Alternate Region

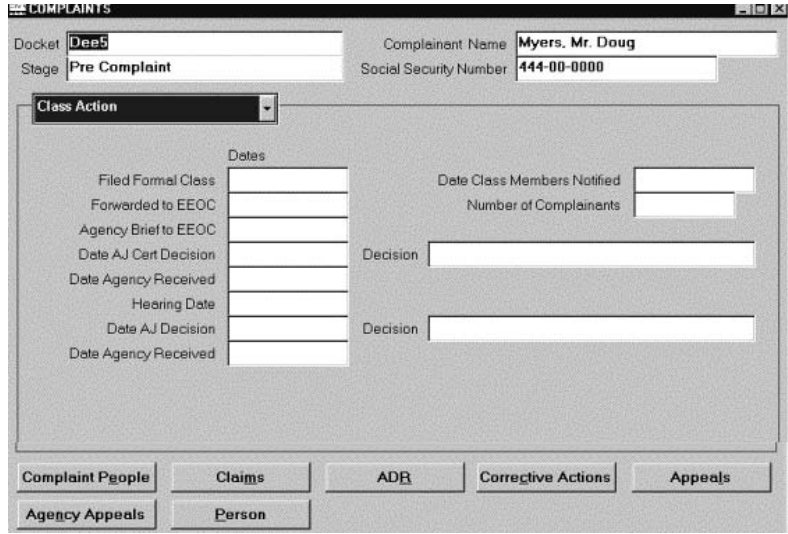| Step	Action
1	The **Complaints** Window displays the **Closure** Alternate Region data fields.
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	In the **Closure** Alternate Region, click the drop-down menu to select the next region, e.g., the **Class Action** Alternate Region.

Entering a Formal Complaint, Continued

**Class Action
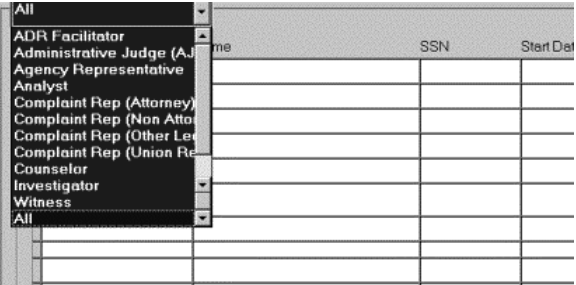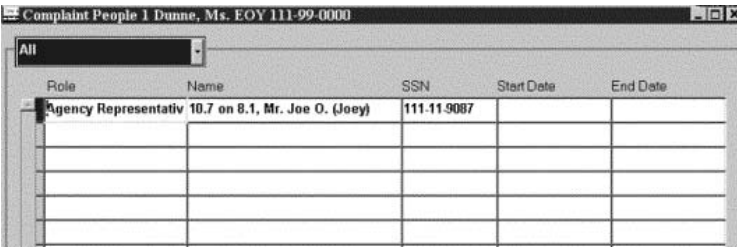Alternate
Region**

Class Actions:
- If a case becomes a class action, check the Class Agent Flag in the Pre-Complaints Area and fill out the class data accordingly.
- If the case is later deemed NOT to be a class action, remove the class Agent Flag (Pre-Complaints Area) but leave the data entered in the class section for history.

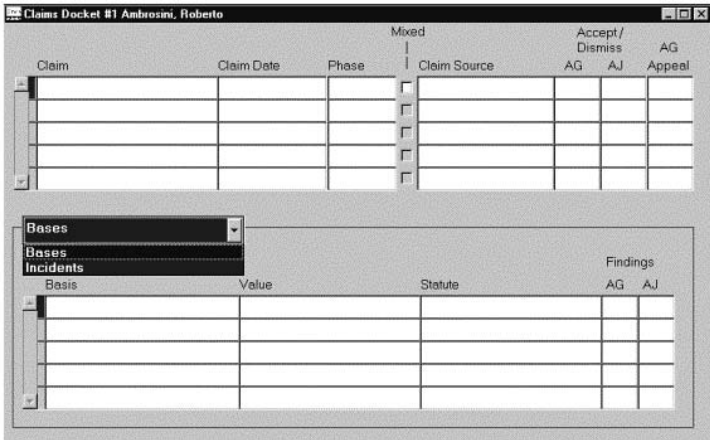| Step	Action
1	The **Complaints** Window displays the **Class Action** Alternate Region data fields.
2	Enter dates and data in the data fields using the LOV or typing in the information.
3	Save your work.
4	Click each Taskflow Button as appropriate. After completing each selection, save your work and select the next Taskflow Button as needed.

Entering a Formal Complaint, Continued

Closure Alternate Region
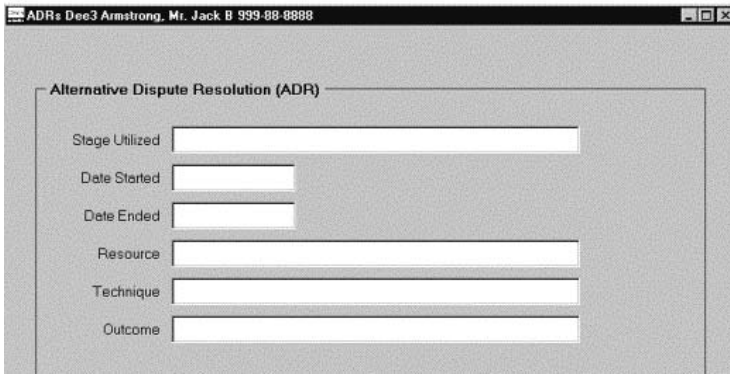**Taskflow Buttons** (continued)

Taskflow Button	Description/Action
Complaint People	With the cursor in the **Role** Column, click the drop-down menu and select a role. Complaint People can have multiple roles. With the cursor in the **Name** Column, use the LOV to select the name. Input a **Start Date**. ♦ Example:

Entering a Formal Complaint, Continued

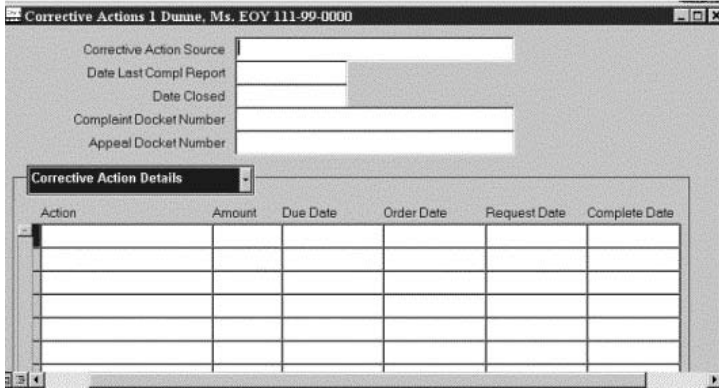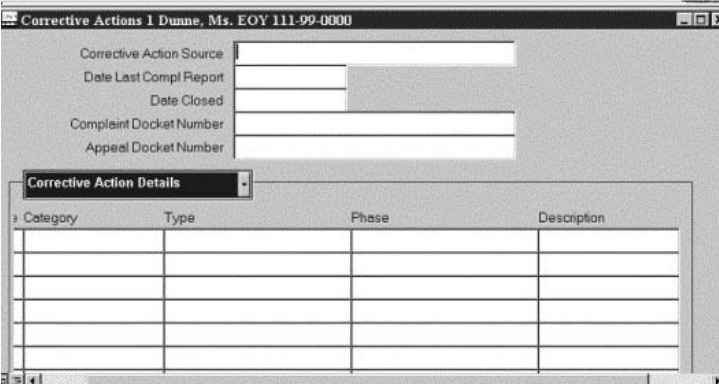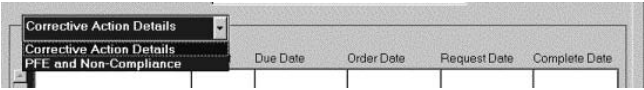**Closure Alternate Region**
Taskflow Buttons (continued)

Taskflow Button	Description/Action
Claims	See Chapter 3, Initiating a Pre-Complaint, for entering **Claims** data (*Claims, Bases*, and **Incidents**).
ADR	Use the LOV to enter data in the *Stage, Resource, Technique,* and *Outcome* data fields. Enter dates in *Date Started* and *Date Ended*.

Entering a Formal Complaint, Continued

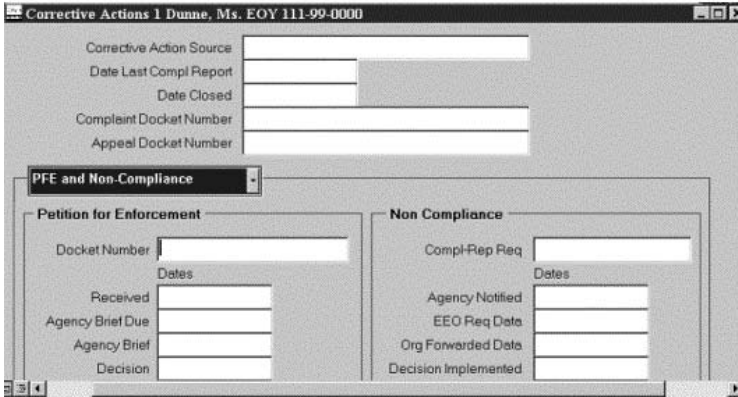**Closure Alternate Region Taskflow Buttons** (continued)

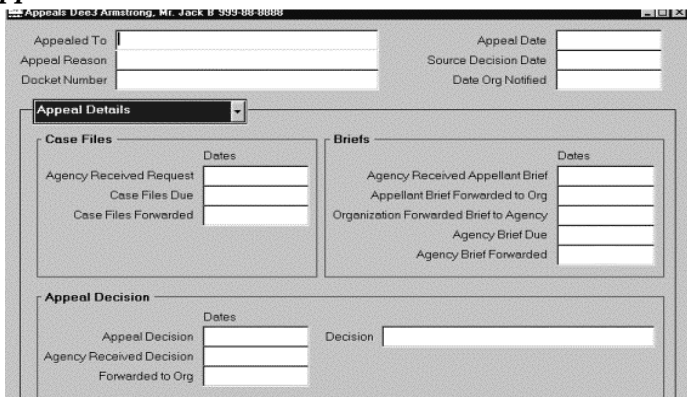| Taskflow Button	Description/Action
Corrective Actions	*Corrective Actions Details* Scroll to the right to view the remaining column headings.
	Corrective Actions Details by moving the scroll bar to the right. Click the **Corrective Alternate** Region drop-down menu and click on **PFE and Non Compliance** Alternate Region.

Entering a Formal Complaint, Continued

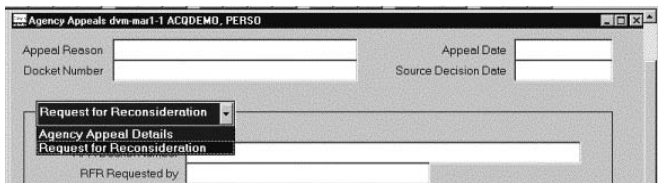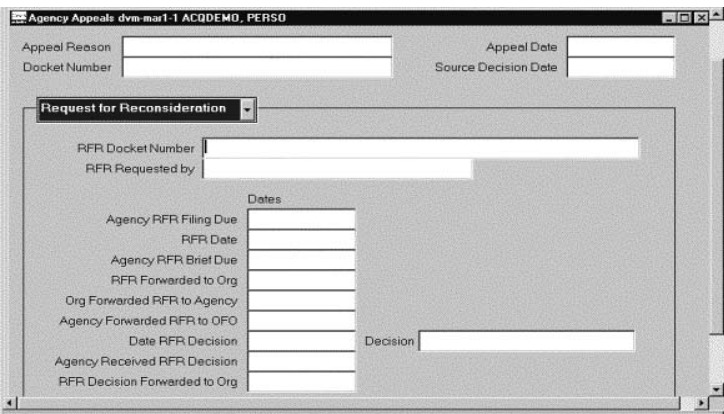**Closure Alternate Region Taskflow Buttons** (continued)

Taskflow Button	Description/Action
	The PFE and Non-Compliance Window displays

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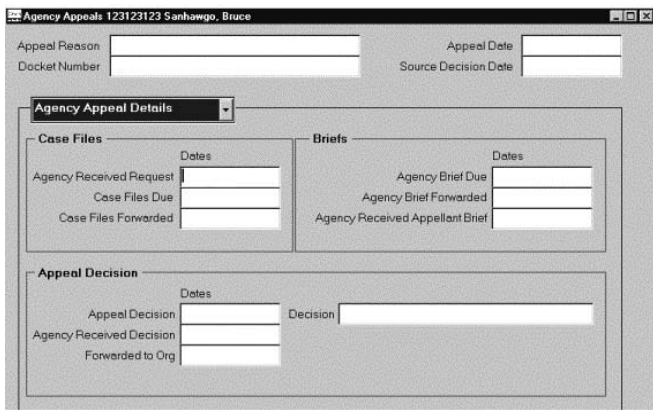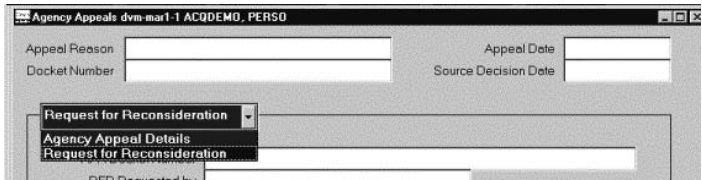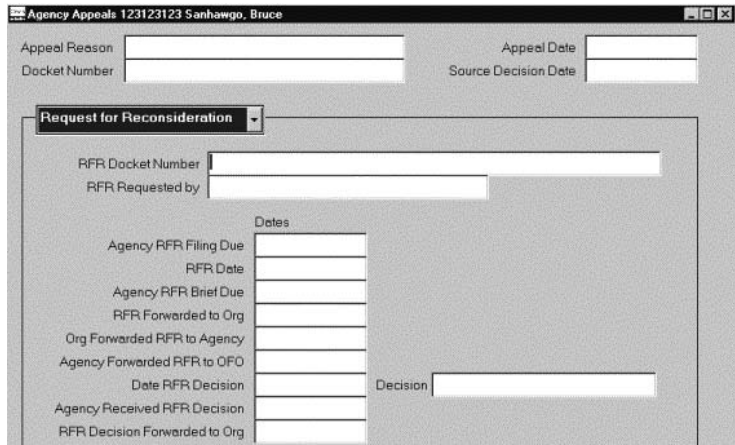
Entering a Formal Complaint, Continued

Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Appeals	***Appeals Details***
	Click the **Appeal Details** Alternate Region drop-down menu and select ***Request for Reconsideration***.
	The ***Request for Reconsideration*** Window displays

Entering a Formal Complaint, Continued
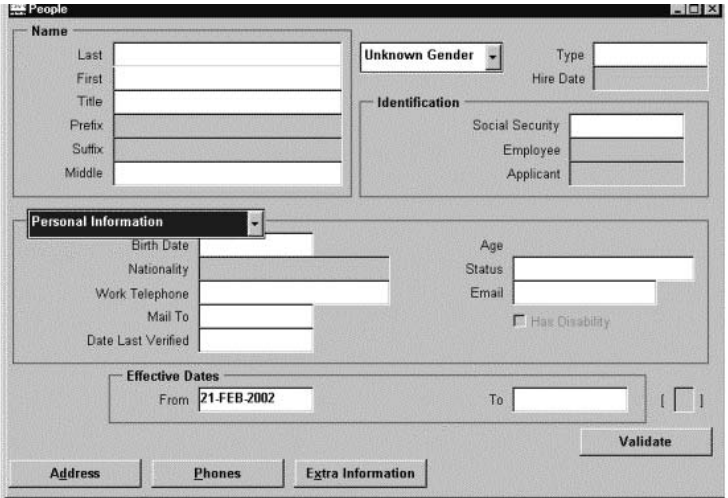
Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Agency Appeals	*Agency Appeals Details* data fields
	Click the drop-down menu and select **Request for Reconsideration**.
	The **Request for Reconsideration** Window displays.

Entering a Formal Complaint, Continued

Closure Alternate Region Taskflow Buttons (continued)

Taskflow Button	Description/Action
Person	The **People** Window displays.
(quill icon)	Click on **<Address>** and <**Phones**> to update the information. **Note:** Do not use: • <**Extra Information**> *Or* • <**Validate**>.
5	After you complete the appropriate Taskflow Buttons, save and exit.

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